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| TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A SUBMISSION UNDER 35 U.S.C. 371 | | ATTORNEY'S DOCKET NUMBER 12874-00003-US |
| INTERNATIONAL APPLICATION NO. PCT/EP2003/007427 | | INTERNATIONAL FILING DATE 9 July 2003 |
| TITLE OF INVENTION FREDERICAMYCIN DERIVATIVES AS MEDICAMENTS FOR TREATING TUMORS | | U.S. APPLICATION NO. (If known, see 37 CFR 1.5) 10/520421 PRIORITY DATE CLAIMED 9 July 2002 |
| APPLICANT(S) FOR DO/EO/US Werner Simon and Ulrich Abel | | |

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a submission under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a submission under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371 (f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☐ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c)(2))
 - a. ☒ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ has been communicated by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International Application as filed (35 U.S.C. 371 (c)(2)).
 - a. ☒ is attached hereto.
 - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).

Items 11 to 20 below concern document(s) or information included:

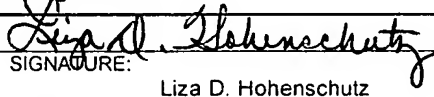
11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A preliminary amendment.
14. ☒ An Application Data Sheet under 37 CFR 1.76.
15. ☐ A substitute specification.
16. ☐ A power of attorney and/or change of address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.
18. ☐ A second copy of the published International Application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☐ Other items or information:

PTO-1390 (Rev. 12-2004)

Approved for use through 03/31/2007. OMB 0651-0021

U. S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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|--|-----------------------------|---|--|---|-----------------|
| U.S. APPLICATION NO. (Known to PCT/EP) 10/520421 | | INTERNATIONAL APPLICATION NO. PCT/EP2003/007427 | | ATTORNEY'S DOCKET NUMBER 12874-00003-US | |
| 21. The following fees are submitted: | | | | | |
| <input checked="" type="checkbox"/> | a) Basic national fee | \$300.00 | | \$ | 300.00 |
| <input checked="" type="checkbox"/> | b) Examination fee | \$200.00 | | \$ | 200.00 |
| <input checked="" type="checkbox"/> | c) Search fee | \$500.00 | | \$ | 500.00 |
| TOTAL OF ABOVE CALCULATIONS = | | | | \$ | 1,000.00 |
| <input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof. | | | | | |
| Total Sheets | Extra sheets | Number of each additional 50 or fraction thereof (round up to a whole number) | RATE | | |
| 28 - 100 = | /50 = | | x \$250.00 | | |
| Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492 (e)). | | | | \$ | |
| CLAIMS | NUMBER FILED | NUMBER EXTRA | RATE | | |
| Total claims | 15 - 20 = | 0 | x | \$ | 0.00 |
| Independent claims | 1 - 3 = | 0 | x | \$ | 0.00 |
| MULTIPLE DEPENDENT CLAIM(s) (if applicable) | | | + | \$ | 0.00 |
| TOTAL OF ABOVE CALCULATIONS = | | | | \$ | 1,000.00 |
| <input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2. | | | | \$ | 500.00 |
| SUBTOTAL = | | | | \$ | 500.00 |
| Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492 (f)). | | | | \$ | |
| TOTAL NATIONAL FEE = | | | | \$ | 500.00 |
| Fee for recording the enclosed assignment (37 CFR 1.21 (h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property | | | | \$ | 40.00 |
| TOTAL FEES ENCLOSED = | | | | \$ | 540.00 |
| | | | | Amount to be refunded: | \$ |
| | | | | Amount to be charged: | \$ |
| a. <input type="checkbox"/> A check in the amount of \$ _____ to cover the above fees is enclosed. b. <input checked="" type="checkbox"/> Please charge my Deposit Account No. <u>03-2775</u> in the amount of \$ <u>540.00</u> to cover the above fees. A duplicate copy of this sheet is enclosed. c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>03-2775</u> . A duplicate copy of this sheet is enclosed. d. <input type="checkbox"/> Fees are to be charged to a credit card. WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038. | | | | | |
| NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137 (a) or (b)) must be filed and granted to restore the International Application to pending status. | | | | | |
| SEND ALL CORRESPONDENCE TO: | | |  SIGNATURE: _____ NAME: <u>Liza D. Hohenschutz</u> | | |
| CUSTOMER NUMBER: 23416 | | | 33,712 REGISTRATION NUMBER <u>January 6, 2005</u> | | |

PTO/SB/17 (12-04)

Approved for use through 7/31/2006. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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| | | | |
|---|------|--|--|
| Effective on 12/08/2004. Fees pursuant to the Consolidated Appropriations Act, 2005 (H.R. 4818). FEE TRANSMITTAL For FY 2005 | | Complete if Known Application Number: Not Yet Assigned 10/520421 Filing Date: Concurrently Herewith First Named Inventor: Werner Simon Examiner Name: Not Yet Assigned Art Unit: N/A Attorney Docket No.: 12874-00003-US | |
| <input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27 | | | |
| TOTAL AMOUNT OF PAYMENT | (\$) | 540.00 | |

METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit Card ☐ Money Order ☐ None ☐ Other (please identify): _____

☒ Deposit Account Deposit Account Number: 03-2775 Deposit Account Name: Connolly Bove Lodge & Hutz LLP

For the above-identified deposit account, the Director is hereby authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☐ Charge fee(s) indicated below, except for the filing fee
☒ Charge any additional fee(s) or any underpayment of fee(s) under 37 CFR 1.16 and 1.17 ☒ Credit any overpayments

FEE CALCULATION**1. BASIC FILING, SEARCH, AND EXAMINATION FEES**

| Application Type | FILING FEES | | SEARCH FEES | | EXAMINATION FEES | | Fees Paid (\$) |
|------------------|-------------|-----------------------|-------------|-----------------------|------------------|-----------------------|----------------|
| | Fee (\$) | Small Entity Fee (\$) | Fee (\$) | Small Entity Fee (\$) | Fee (\$) | Small Entity Fee (\$) | |
| Utility | 300 | 150 | 500 | 250 | 200 | 100 | |
| Design | 200 | 100 | 100 | 50 | 130 | 65 | |
| Plant | 200 | 100 | 300 | 150 | 160 | 80 | |
| Reissue | 300 | 150 | 500 | 250 | 600 | 300 | |
| Provisional | 200 | 100 | 0 | 0 | 0 | 0 | |

2. EXCESS CLAIM FEES

| Fee Description | Fee (\$) | Small Entity Fee (\$) |
|---|----------|-----------------------|
| Each claim over 20 or, for Reissues, each claim over 20 and more than in the original patent | 50 | 25 |
| Each independent claim over 3 or, for Reissues, each independent claim more than in the original patent | 200 | 100 |
| Multiple dependent claims | 360 | 180 |

| Total Claims | Extra Claims | Fee (\$) | Fee Paid (\$) |
|--------------|--------------|----------|---------------|
| 15 | - 20 = 0 | x | 0.00 |

| Indep. Claims | Extra Claims | Fee (\$) | Fee Paid (\$) |
|---------------|--------------|----------|---------------|
| 1 | - 3 = 0 | x | 0.00 |

3. APPLICATION SIZE FEE

If the specification and drawings exceed 100 sheets of paper, the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).

| Total Sheets | Extra Sheets | Number of each additional 50 or fraction thereof | Fee (\$) | Fee Paid (\$) |
|--------------|--------------|--|----------|---------------|
| 28 | - 100 = | /50 (round up to a whole number) x | | |

4. OTHER FEE(S)

| | Fees Paid (\$) |
|--|----------------|
| Non-English Specification, \$130 fee (no small entity discount) | |
| Other: 2631 Basic National Stage fee | 150.00 |
| 2632 National Stage search fee | 250.00 |
| 2633 National Stage examination fee | 100.00 |
| 8021 Recording each patent assignment, agreement or other paper, per ... | 40.00 |

| | | | |
|---------------------|----------------------------|-----------------------------------|-----------------|
| SUBMITTED BY | | | |
| Signature | <i>Liza B. Hohenschutz</i> | Registration No. (Attorney/Agent) | 33,712 |
| Name (Print/Type) | Liza B. Hohenschutz | Telephone | (302) 658-9141 |
| | | Date | January 6, 2005 |

373112

DT1800 c'd PCT/PTO 06 JAN 2005

Amy Hamm
Typed or printed name of person signing Certificate

Application No. (if known): Not Yet Assigned

Attorney Docket No.: 12874-00003-US

TITLE: FREDERICAMYCIN DERIVATIVES AS MEDICAMENTS FOR TREATING TUMORS

Certificate of Express Mailing Under 37 CFR 1.10

I hereby certify that this correspondence is being deposited with the United States Postal Service as Express Mail, Airbill No. EV473535625US in an envelope addressed to:

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Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

on January 6, 2005
Date



Signature

Amy L. Hamm

Typed or printed name of person signing Certificate

Registration Number, if applicable

(302) 658-9141
Telephone Number

Note: Each paper must have its own certificate of mailing, or this certificate must identify each submitted paper.

Transmittal Letter to US Designated-Elected Office (2 pages)
Application Data Sheet (2 pages)
Fee Transmittal
Charege \$540.00 to deposit account 03-2775
Copy of PCT/EP2003/007427
English Translation of International Appln. PCT/EP2003/007427 with copy of World Sheet and Search Report
Executed Combined Declaration and Power of Attorney (6 pages)
Assignment Recordation and Executed Assignment (5 pages)
Information Disclosure Statement, PTO/SB/08 and References
Preliminary Amendment
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